

New Study Starts
Eligibility Criteria for Capabilities

1. The study is authorized.
2. The needs to be addressed include at least one of the following: commercial navigation; flood damage reduction; hurricane and storm damage reduction; and mitigation, restoration, or protection of environmental resources in accordance with Table 3 of EC 11-2-175.
3. The study, whether proposed as an interim study or in full response to a study authority, will be cost shared (except for inland waterway studies) with a non-Federal local sponsor and will be conducted in two phases, a reconnaissance phase and a feasibility phase. The reconnaissance phase will be federally funded for \$100,000 and the feasibility phase will be cost shared on a 50/50 basis, with no more than one half of the non-Federal share to be in-kind services.
4. Evidence, obtained since 1 January of the BY-2, shows clearly that local interests support the study and do not oppose 50/50 cost sharing of the feasibility phase.

New PED Starts
Eligibility Criteria for Capabilities

1. The project is: (a) authorized for construction, or (b) the Division Commander has scheduled issuance of a Public Notice (during the BY) that a favorable report, recommending authorization of a project for accomplishment by the Corps of Engineers, has been transmitted to CECW-AR.
2. The project has primary out puts consistent those reflected in Para. A-2.3 of EC 11-2-175, and net economic benefits at the current discount rate; or the project is responsive to mitigation, restoration, or protection of environmental resources in accordance with Table 3 of the EC.
3. Evidence, obtained since 1 January of the BY-2, showing that local interests are not opposed to the upfront financing of the PED phase, with the local interests providing 25 percent of the PED costs.
4. Evidence, obtained since 1 January of the BY-2, shows clearly that local interests support the project and are willing and able to provide cost sharing and financing in accordance with concepts of the Water Resources Development Act of 1986 (PL 99-662), as amended by WRDA 1996 (PL 104-303).

New Construction Starts
Eligibility Criteria for Capabilities

1. The project is authorized for construction.
2. Appropriate evaluation of project merits is presented in a Corps report and, in the case of a project justified based on NED benefits, net benefits are firm and based on an approved M-CACES baseline cost estimate and the current discount rate; or the project is responsive to mitigation, restoration, or protection of environmental resources in accordance with Table 3 of EC 11-2-175.
3. Preconstruction engineering and design will be fully funded by the end of the BY-1, and execution of the PCA and approval of the financing plan by ASA(CW) are scheduled to occur by the end of June of the BY.
4. The Project Manager has confirmed that the sponsor understands its contractual and financial commitments and is able to meet the funding requirements of the construction schedule, including payback of its share of PED costs.
5. The project is in compliance with environmental statutes applicable to the current stage of implementation. An Environmental Assessment/Finding of No Significant Impact has been signed, or a final EIS or supplement was filed with EPA by 31 December of the BY-1, unless the project is subject to Section 404(r) of PL 95-217.
6. The planning and review process for the recommended plan was completed by ASA(CW) by 31 December of the BY-1. For projects with project plans essentially unchanged from those presented in feasibility reports with engineering appendices approved by ASA(CW), the feasibility reports will serve as the necessary document. For all other projects, a HQUSACE approved GRR will be required in accordance with CECW-A Policy Memorandum No. 2, 6 April 1995, subject: Civil Works Decision Document Review - Policy Compliance. If the economic analysis in the applicable document was approved earlier than BY-4, a LRR on the project economics will be required. The LRR must be approved by CECW-P.

7. If a post authorization change is required, only routine issues are involved which will not require Congressional authorization.

8. No known or reasonably anticipated conditions or unresolved issues exist which might prevent either: (1) award of the first significant construction contract during the fourth quarter of the BY; or (2), if the sponsor does not have title to the required lands and easements, the start of real estate acquisition so that the scheduled first significant construction contract can be awarded by the end of BY+1. Planning, engineering, and design work should be far enough along in the BY so that the orderly and continuous progression of construction is assured with the scheduled award of the first construction contract.

9. Any authorized environmental mitigation is scheduled to be funded concurrently and proportionately with construction.

10. Since new start and continuing high priority projects funded from Harbor Services Fund receipts are funded in the BY at unconstrained levels, the BY capabilities for these projects should be identical to their budget amounts.

Operation and Maintenance
Eligibility Criteria for Capabilities

1. The project is one for which the Corps is authorized to perform operation and maintenance.
2. The activity requires at least \$100,000. (Activities may not be grouped to achieve the \$100,000 cutoff.)
3. For unbudgeted projects, only the following significant MAINTENANCE activities may be shown on the O&M table: Dam maintenance; Lock maintenance; Power plant maintenance; Maintenance of natural resources; Non-recreational road and bridge maintenance; Breakwater, jetty, and seawall maintenance; Maintenance of levees, floodwalls, and hurricane barriers, and other non-dredging flood control channel maintenance; Pumping plant maintenance; Maintenance of recreational facilities; Maintenance and purchase of non-recreation operating equipment; Bank stabilization, maintenance of revetments, dikes, and other measures to prevent sloughing, erosion, and meandering of channels; Maintenance of non-recreational buildings, grounds, and utilities; Channel and canal maintenance.
4. In order to ensure nationwide consistency, explanations under the "Purpose of Additional Capability" column should be limited to one, short, concise sentence, structured as follows:
 - a. Start with a key verb, such as "repair," "replace," "paint," "construct," etc.
 - b. Follow with a brief description of the facility, as follows:

"Repair concrete cap on south breakwater"
"Repair roads in recreation areas"
"Replace lock tow haulage equipment at Lock and Dam 3"
"Paint dam gates at Lock and Dam 11"
"Construct protection cells upstream of Lock and Dam 22"
"Repair lock guidewalls (major rehab)"
 - c. Revise the descriptions existing in the CECW-OM data base, if necessary, to comply with this guidance.

Operation and Maintenance
Eligibility Criteria for Capabilities (Continued)

5. In the case of additional dredging capability recommendations, the specific area or feature to be dredged should be described, as well as the estimated volume of additional dredged material to be removed. Example: "Dredge entrance channel (100,000 CY)."
6. Unbudgeted active projects with a zero capability will have this explained with a remark such as "Project depths adequate for current use."
7. Do not list items programmed by HQUSACE, such as Removal of Sunken Vessels, Waterborne Commerce Statistics, and National Emergency Preparedness Program.

New Major Rehabilitation Starts and Dam Safety Assurance Projects
Eligibility Criteria for Capabilities

1. A reconnaissance report has been approved by HQUSACE and ASA(CW).
2. The first construction contract is scheduled for award by the end of the BY.
3. No additional Congressional authorization is required for the proposed work.

	Standard Statements for Use in Capability Tables
Statement	Situation in Which Statement Is to Be Used

Capability Equal to or Greater than Budget

No additional requirement.	Capability is same as budget request, not zero, and project or study is not funded for completion.
Complete study, PED, or project.	Item will be completed with requested capability, whether greater than or the same as the budget amount.
Complete project except for unprogrammed _____ (specific feature name).	Item will be completed with requested capability, whether greater than or the same as budget amount, except for unprogrammed feature.
Initiate reconnaissance phase of study.	No previous funds have been allocated for item, and item is not in budget.
Initiate and complete reconnaissance phase of study. is not in budget.	No previous funds have been allocated for item, and item
Complete reconnaissance phase of study.	Item will be completed with requested capability, whether greater than or the same as the budget amount.
Complete reconnaissance phase of study and initiate feasibility phase of study.	Reconnaissance phase has been partially funded and will be completed with requested capability, whether greater than or the same as the budget amount, and no previous funds have been allocated for feasibility phase.

Standard Statements for Use in Capability Tables

Statement	Situation in Which Statement Is to Be Used
Capability Equal to or Greater than Budget (continued)	
Initiate feasibility phase of study.	Reconnaissance phase of study has been fully funded, no previous funds have been allocated for feasibility phase, and study is not in budget. Initiate PED or project. No previous funds have been allocated for item, and item is not in budget.
Initiate _____ (specific feature name).	No previous funds have been allocated for item, and item is not in budget.
Continue study, PED, or project.	Item is not in budget, but physical progress has not completely halted and will be continued with capability amount.
Continue Engineering and Design	Design Item is not in budget, has been funded for construction but construction is not underway, and engineering and design will be continued with capability amount.
Advance study, PED, or project completion _____ (quantity) months.	Item is in budget, and physical progress of entire item can be accelerated with capability accelerated with capability amount.
Advance completion of _____ (specific feature name) _____ (quantity) months.	Item is in budget, and physical progress of specific feature can be accelerated with capability amount.
Stabilize bank at _____ (specific feature name) to protect shoreline development.	Item is not in budget, but could be accomplished with capability amount.

Standard Statements for Use in Capability Tables

Statement

Situation in Which Statement Is to Be Used

Capability Equal to or Greater than Budget (continued)

Dredge _____ (specific
feature name) _____
(quantity) CY.

Item is not in budget,
but could be accomplished
with capability amount.

Repair _____ (specific
feature name).

Item is not in budget, but
could be accomplished with capability amount.

Resume study, PED,
or project.

Item is not in budget, and
all physical progress has halted, but will be
resumed with capability amount.

Note: The Administration's
review of this project has
identified economic and/or
policy concerns.

Item is not in budget, but has
been directed to be undertaken in
appropriation act language and
will incur follow-on commitments in the BY as
the result of the directive language. (Note must be
added at the end of "Purpose of Additional
Capability" for applicable projects).

Standard Statements for Use in Capability Tables

Statement	Situation in Which Statement Is to Be Used
Capability is Zero	
Study, PED or project will continue with available funds.	Zero budget and capability; however, item will continue with available funds.
Engineering and design will continue with available funds.	Zero budget and capability, but item has been funded for construction and engineering and design will continue with available funds.
Reconnaissance phase of study is fully funded.	Zero budget and capability; however, reconnaissance phase of study will complete with available funds.
Fully funded.	Zero budget and capability; however, item will complete with available funds.
Fully funded except for unprogrammed ____ (specific feature name).	Zero budget and capability; however, item will complete with available funds, except for unprogrammed feature.
Combined with the ____ (name) study.	Item is being addressed under another study authority.
Being studied under Section ____ (number) continuing authority program for small ____ (type) projects (use for authorized studies.)	Item is being addressed under a specific continuing authority program.
Project depth(s) adequate for current use.	Zero budget and capability because no dredging is presently needed.

Standard Statements for Use in Capability Tables

Statement	Situation in Which Statement Is to Be Used
Capability Is Zero (continued)	
Periodic nourishment not currently required.	Zero budget and capability because no beach nourishment is presently needed.
Deferred pending completion of _____ (name) report.	Zero budget and capability pending report completion.
Deferred pending demonstration of need for _____ (feature name).	Zero budget and capability pending demonstration of need.
Dredging deferred pending construction of confined disposal facility.	Zero budget and capability pending construction of confined disposal area.
Dredging deferred pending identification of disposal areas.	Zero budget and capability pending identification of disposal areas.
Being constructed by local interests.	Zero budget and capability because project is being constructed by local interests at their expense.
To be constructed by local interests with subsequent Federal reimbursement.	Zero budget and capability pending construction by local interests.
Periodic nourishment to be accomplished by local interests with subsequent Federal reimbursement.	Zero budget and capability pending beach nourishment by local interests.

Standard Statements for Use in Capability Tables

Statement	Situation in Which Statement Is to Be Used
Capability Is Zero (continued)	
Lack of local cooperation.	Zero budget and capability due to specific indication of lack of local cooperation in recent past and study or project has not been reclassified from active category.
Lack of recent expression of local interest.	Zero budget and capability resulting from no specific event indicating lack of local support; however, considerable time has passed since last expression of support and interest.
Lack of adequate local support.	Zero budget and capability because adequate assurances of local cooperation have not been provided even though local interests may favor project (PED only).
Proposed for non-Federal financing. interests.	Zero budget and capability because the item has been proposed for financing by non-Federal
Cost sharing and financing by local interests are unavailable.	Zero budget and capability because the non-Federal sponsor has definitely indicated that cost sharing and financing as reflected in PL 99-662 are unavailable.
Cost sharing and financing by local interests are unlikely.	Zero budget and capability because the non-Federal sponsor has not provided a letter of commitment for cost sharing and financing reflected in PL 99-662 and it is unlikely that a commitment will be forthcoming.

Standard Statements for Use in Capability Tables

Statement	Situation in Which Statement Is to Be Used
Capability Is Zero (continued)	
Being constructed with non-Federal funds.	Zero budget and capability because project is being constructed by Corps with non-Federal funds.
Under review.	Zero budget and capability pending further review and coordination of the requested item (For HQUSACE use only).
Cost sharing and financing policy has not been established.	Zero budget and capability because cost sharing and financing policy has not been established.
Extent of Federal interest under review.	Zero budget and capability because extent of Federal interest is under review.
More appropriately accomplished by _____ (other Federal, State, or local agency).	Zero budget and capability because the item is more appropriately accomplished by another Federal, State, or local agency.
Does not meet economic selection criteria.	Zero budget and capability because the item does not meet current economic selection criteria.
Washington level review not completed.	Zero budget and capability pending completion of project document review by HQUSACE, CEWRC-WLR, ASA(CW), and OMB.

Standard Statements for Use in Capability Tables

Statement

Situation in Which Statement Is to Be Used

Capability Is Zero (continued)

Federal accomplishment
not in accord with
current priorities.

Zero budget and capability
because Federal accomplishment
is not in accord with the Administration's
priorities, e.g. studies or projects that would
provide primarily recreational benefits or single
purpose vendible outputs, or primarily bank
stabilization benefits (see paragraph 3.c of basic
memorandum).

Unacceptable Statements for Capability Tables

Unacceptable Statement

Reason for Unacceptability

Capability required to maintain schedule.

The schedule is established by the budget amount and this statement will not be used in approving the initial capability submission. However, subsequent recommendations for revisions may explain that additional capability requirements are to prevent slippages due to increased cost for budgeted work.

Additional O&M requirements.

Meaningless.

Required to operate
(an existing facility or feature).

Minimum funds for operation of existing facilities have been provided within the budget amount.

Hire four additional temporary employees or Fund service contract.

Statements are to indicate what specific additional items are to be accomplished with additional funds, not method of accomplishing additional work.

Dredging or Additional dredging.

Too general; indicate specifically what additional area or feature will be dredged. Additional volume to be dredged must also be indicated.

Excessive District and AE workload or lack of personnel.

Statement is inconsistent with definition of "individual" study or project capability, as the next added increment to the President's budget.

Unacceptable Statements for Capability Tables (continued)

Unacceptable Statement	Reason for Unacceptability
Report submitted to HQUSACE, Secretary of the Army, or OMB.	Status of report not required. Further, statement implies that review is being unnecessarily delayed. Correct statement is usually "Fully funded."
Negative report being prepared.	The statement should not preempt report findings and the issuance of the Division Commander's Public Notice.
Contingent upon reprogramming \$ ____ during FY XX.	Capability is not to be dependent upon a reprogramming action. The capability is either incorrect or the qualifier is redundant. Furthermore, the reprogramming process should not be influenced by capability statements. However, should a reprogramming be accomplished, the capability subsequently may be revised, if appropriate.
Miscellaneous	Meaningless.

Qualifying Language to Be Used When Disclosing Approved Capabilities

"Although project and study capabilities reflect the readiness of the work for accomplishment, they are in competition for available funds and manpower Army-wide. In this context, the FY_ capability amounts shown consider each project or study by itself without reference to the rest of the program. However, it is emphasized that the total amount proposed for the Army's Civil Works Program in the President's budget for FY _ is the appropriate amount consistent with the Administration's assessment of national priorities for Federal investments. In addition, the total amount proposed for the Army's Civil Works Program in the President's Budget is the maximum that can be efficiently and effectively used. Therefore, while we could utilize additional funds on individual projects and studies, offsetting reductions would be required in order to maintain our overall budgetary objectives."

CORPS OF ENGINEERS
FUNDING CAPABILITIES FOR FY _ 1/
IN _____ 2/

DATE:

NAME OF SURVEY
OR PROJECT

CATEGORY 3/

CAPABILITY

PURPOSE OF ADDITIONAL CAPABILITY

(SAMPLE FORMAT FOR USE AS AN ENCLOSURE TO A LETTER)

1/ Although project and study capabilities reflect the readiness of the work for accomplishment, they are in competition for available funds and manpower Army-wide. In this context, the FY _ capability amounts shown consider each project or study by itself without reference to the rest of the program. However, it is emphasized that the total amount proposed for the Army's Civil Works Program in the President's budget for FY _ is the appropriate amount consistent with the Administration's assessment of national priorities for Federal investments. In addition, the total amount proposed for the Army's Civil Works Program in the President's Budget is the maximum that can be efficiently and effectively used. Therefore, while we could utilize additional funds on individual projects and studies, offsetting reductions would be required in order to maintain our overall budgetary objectives.

2/ Indicate State, Congressional District, or other regional designation when applicable.

3/ Categories include Study (S), PED (P), Construction (C), Major Rehabilitation (MR), Dam Safety Assurance (DS), and Operation and Maintenance (O&M), and Formerly Utilized Sites Remedial Action Program (FUSRAP).

FUNDING CAPABILITIES FOR FY
(Sample format for use in requesting revisions to previously approved capabilities.)

Division

Recommended Revisions to Previously Approved Budget FY _ Capabilities 1/
Construction Projects 2/
(Amounts in Thousands)

Cong Dist	Project and State 3/	Estimated Federal Cost 4/5	Amount In Budget	Recommended (Prev Appvd) Capability	New (Old) Purpose of Additional Capability
NY 30	Study Study A, NY	330 (330)	50 (50)	100 (50)	Advance study completion 6 months. (No additional requirement.)
NY 37, 38	PED Project B, NY	6,850 (6,850)	0 (P) (0 (P))	0 (P) (250 (P))	Lack of local cooperation. (Initiate PED.)
IL 20	Construction Project C, IL	4,900 (4,900)	150 (C) (150 (C))	2,000 (C) (150 (C))	Advance project completion 12 months. (No additional requirement.)
LA 9	Operation and Maintenance Project D, LA	N	1,000	2,000	Dredge 18 miles of Inner Channel (800,000 CY). Riprap exterior breakwater.
		(N)	(1,000)	(1,800)	(Dredge 18 miles of Inner Channel (800,000 CY).)
NJ3	FUSRAP Project E, NY	500 (400)	2,000 (2,000)	2,500 (2,400)	To complete the project. (To complete the project.)

1/ Previously approved amounts and comments are shown in parentheses.

2/ Insert title as appropriate: Studies, Preconstruction Engineering and Design, Construction Projects, Operation and Maintenance, or Formerly Utilized Sites Remedial Action Program..

3/ Column heading for Studies is Study and State.

4/ Column heading for Operation and Maintenance is Type.

5/ Column heading for FUSRAP is Balance to Complete after BY

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